

Acting Chair Allison Herren Lee
Public Calendar
January 20, 2021 to January 31, 2021

Wednesday, January 20, 2021

5:00 pm Meeting with staff

Thursday, January 21, 2021

11:00 am Meeting with staff
1:00 pm Phone call with job applicant
1:30 pm Meeting with staff
2:00 pm Meeting with staff
4:00 pm Meeting with staff
4:30 pm Meeting with staff

Friday, January 22, 2021

10:00 am Meeting with staff
11:00 am Phone call with job applicant
12:00 pm Phone call with Ken Lench, General Counsel, Public Company Accounting Oversight Board (PCAOB)
12:30 pm Meeting with staff
1:00 pm Meeting with staff
2:00 pm Phone call with job applicant
3:00 pm Phone call with job applicant
4:00 pm Meeting with staff
5:00 pm Meeting with staff
5:30 pm Meeting with staff

Saturday, January 23, 2021

12:00 pm Phone call with Gary Gensler, SEC Chair Nominee
1:30 pm Phone call with staff

Monday, January 25, 2021

10:00 am Meeting with staff
10:30 am Meeting with staff
12:00 pm Meeting with staff
12:50 pm Meeting with staff
2:00 pm Meeting with staff
2:30 pm Meeting with Commissioner

3:00 pm Meeting with staff
5:00 pm Meeting with staff
6:30 pm Meeting with staff

Tuesday, January 26, 2021

10:00 am Meeting with staff
10:30 am Meeting with staff
12:00 pm Meeting with staff
1:00 pm Meeting with staff
2:00 pm Meeting with staff
4:00 pm Meeting with staff
5:00 pm Meeting with staff
6:30 pm Meeting with staff

Wednesday, January 27, 2021

12:00 pm Meeting with staff
12:30 pm Meeting with staff
1:00 pm Meeting with staff
1:30 pm Meeting with staff
2:00 pm Town Hall meeting with SEC employees
3:30 pm Meeting with staff
4:00 pm Phone call with Congresswoman Maxine Waters
5:00 pm Meeting with staff
6:30 pm Meeting with staff

Thursday, January 28, 2021

7:00 am Financial Stability Board (FSB) Steering Committee on Non-Bank Financial Intermediation (NBFI) meeting
10:00 am Meeting with staff
11:00 am Phone call with Randal Quarles, Vice Chair for Supervision, Federal Reserve Board (FRB)
11:30 am Phone call with the Financial Industry Regulatory Authority (FINRA), including: Bill Wollman, Executive Vice President of Financial and Operational Risk Policy; Ornella Bergeron, Senior Vice President and Firm Group Leader of Diversified and Carrying and Clearing Firms; Tim Thompson, Senior Vice President of the Trading and Execution Firm Group; Patrick Tominey, Vice President of Trading and Execution Firm Group; Robert Chao, Senior Director; Scott Gilbert, Vice President of Member Supervision; Melanie Chan, Surveillance Director; Brian Kowalski, Senior Director of Risk Monitoring; and Rosemarie Fanelli, Managing Surveillance Director, Risk Oversight and Operational Regulation
12:30 pm Meeting with staff
1:15 pm Meeting with staff

2:00 pm Phone call with Fidelity Investments, including: Gerry McGraw, Head of Legal, Risk, and Compliance functions; Mark Katzelnick, Chief Risk and Compliance Officer; Jonathan Chiel, General Counsel; Anton Marchuk, Senior Vice President of Market and Collateral Risk; Jim Febeo, Head of Federal Government Relations and Public Policy; and Kristy Croushore, Vice President of Federal Government Relations

2:30 pm Phone call with Lael Brainard, Governor, FRB

3:00 pm Phone call with Rostin Behnam, Action Chairman, Commodity Futures Trading Commission (CFTC)

3:30 pm Phone call with the New York Stock Exchange (NYSE) Business Team, including: Stacey Cunningham, President; Michael Blaugrund, Chief Operation Officer; Hope Jarkowski, Head of Equities; Elizabeth King, General Counsel; Clare Saperstein, Associate General Counsel; and Jaime Klima, Chief Regulatory Officer

4:00 pm Phone call with Nasdaq, including: Tal Cohen, Head of North American Markets; Jeffrey Davis, Senior Deputy General Counsel; Kevin Kennedy, Senior Vice President and Head of U.S. Options; Oliver Albers, Head of Data for Investment Intelligence; and Jennifer Savino, Executive Assistant

4:30 pm Phone call with FINRA, including: Robert Cook, President; Nathaniel Stankard, Senior Advisor to the Chief Executive Officer; Bari Havlik, Executive Vice President of Member Supervision; Jon Kroeper, Executive Vice President for Quality of Markets; Gene DeMaio, Executive Vice President of Options Regulation and TFCE; Ornella Bergeron, Senior Vice President and Firm Group Leader of Diversified and Carrying and Clearing Firms; Bill St. Louis, Senior Vice President and Firm Group Leader for Retail Firms; and Greg Dean, Senior Vice President of Government Affairs

5:00 pm Commission Briefing

6:00 pm Meeting with staff

6:45 pm Meeting with staff

7:00 pm Meeting with staff

Friday, January 29, 2021

9:00 am Meeting with staff

9:30 am Meeting with staff

10:00 am Meeting with staff

10:30 am Meeting with staff

12:00 pm Meeting with staff

12:30 pm Meeting with staff

1:00 pm Phone call with Mark Calabria, Director, Federal Housing Finance Agency (FHFA)

1:45 pm Meeting with staff

2:00 pm Meeting with staff

2:30 pm Phone call with job applicant

3:30 pm Phone call with job applicant

4:00 pm Meeting with staff

4:30 pm Meeting with staff

Saturday, January 30, 2021

2:00 pm Phone call with staff

3:00 pm Phone call with staff

Sunday, January 31, 2021

10:30 am Phone call with staff

12:30 pm Phone call with job applicant

1:00 pm Phone call with staff

1:30 pm Phone call with staff

2:30 pm Phone call with staff